

01-03-02

A

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No: 12935US02

PATENT APPLICATION TRANSMITTAL

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Robert W. Naismith

Title: CONSOLIDATION, AGGREGATION, AND DISTILLATION OF INTERACTIVE  
FINANCIAL INFORMATION EXCHANGE UTILIZING ONLINE ANALYSTS

1. Type of Application

This new application is for a:

☒ utility patent.

☐ design patent.

This application is a:

☐ continuation

☐ divisional

☐ continuation-in-part (CIP)

of prior application \_\_\_\_\_.

2. Application Papers Enclosed

1 Title Page

20 Pages of Specification (excluding Claims, Abstract & Drawings)

4 Page(s) of Claims

1 Page(s) of Abstract

3 Sheet(s) of Drawings (Figs. 1 to 3 )

☐ Formal

☒ Informal

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **December 28, 2001**, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL 649 149 882 US.

Patrick J. Arnold Jr.  
Patrick J. Arnold Jr.

3. Declaration or Oath

: Enclosed

Executed by (check all applicable boxes)

Inventor(s) (copy from prior application)

Legal representative of inventor(s)

(37 CFR 1.42 or 1.43)

Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached

The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed. See Item 5D below for fee.

☒ Not enclosed - the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

4. Additional Papers Enclosed

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement, including copies of cited references
- ☐ Declaration of Biological Deposit
- ☐ Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence
- ☐ Verified statement(s) claiming small entity status under 37 CFR 1.9 and 1.27
- ☐ Associate Power of Attorney
- ☐ Verified translation of a non-English patent application
- ☐ An assignment of the invention (copy of recorded assignment(s) from prior application)
- ☐ Certified copy(ies) of application(s):

COUNTRY	APPLICATION NO.	FILED

from which priority under 35 USC 119 is claimed is(are) attached.  
will follow.

☐ Other

5. Filing Fee Calculation (37 CFR 1.16)

A.      Utility Application

CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY)						
			SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	NO. FILED	NO. EXTRA	RATE	FEE	RATE	FEE
BASIC FEE				\$		
TOTAL	-20	= 0	X 9 =	\$	X 18 =	\$
INDEP.	- 3	= 0	X 39 =	\$	X 78 =	\$
9First Presentation of Multiple Dependent Claim			+ 130 =	\$	+ 270 =	\$
Filing Fee:					OR	

B.      Design Application (\$155.00/\$310.00) Filing Fee: \$                     

C.      Plant Application (\$240.00/\$480.00) Filing Fee: \$                     

D. Other Fees

     Recording Assignment [Fee -- \$40.00 per assignment] \$                     

     Petition fee for filing by other than all the inventors  
or person on behalf of the inventor where inventor refused  
to sign or cannot be reached [Fee -- \$130.00] \$                     

     Other \$                     

Total Fees Enclosed \$

6. Method of Payment of Fees

     Enclosed check in the amount of: \$

     Charge Deposit Account No. 13-0017 in the amount of: \$             0.00  
A copy of this Transmittal is enclosed.

  X   Not enclosed

7. **Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-0017. A copy of this Transmittal is enclosed.

Please refund any overpayment to Deposit Account No. 13-0017.

Please direct all future communications to Patrick J. Arnold Jr. at the address below.

McAndrews, Held & Malloy, Ltd.  
500 West Madison Street, 34th Floor  
Chicago, Illinois 60661

Please direct all telephone calls to Patrick J. Arnold Jr. at (312) 775-8000. Please direct all facsimile transmissions to Patrick J. Arnold Jr. at (312) 775-8100.

Respectfully submitted,

By: Patrick J. Arnold Jr.  
Patrick J. Arnold Jr.  
Registration No. 37,769

Date: December 28, 2001